



Changes to EFM Processes

Will Murdoch

January 9, 2020

Proposed Changes

- **In order to reduce the risk of denied sponsor payment, EFM's procedures allow for fund close out to be initiated centrally if the department is unable to submit a complete and correct Close Out Package timely**
- **This procedure was not intended as a substitute for departmental responsibility for close out**
 - This approach may help with a timely submission to sponsor, but risks exclusion of allowable expenses, which often results in revised submissions to sponsors
 - Final invoices and Financial Reports are still submitted late, despite this EFM-initiated closeout
- **Changes will increase on-time submissions and reduce audit risk**
- **Responsibilities within the procedure have not changed**
- **Changes to Financial Closeout of Sponsored Projects process have been approved by AVC Research Administration**
- **Exceptions to these provisions (still) require approval, by EFM Director or VC Research**
- **These changes are effective beginning Thursday, January 9, 2020**

Final For Budget

Current State	Future State
<p>EFM reports expenses including all adjustments from the department with appropriate supporting documentation.</p>	<p>EFM will report based on the g/l, with the exception of adjustments for only subawards.</p> <p>Other adjustments are expected to be made by departments before the submission of COP, prompted by current automated reminders.</p>

EFM Initiated COP – Response Time

Current State	Future State
<p>When EFM does not receive a complete and accurate COP on time, EFM initiates their own analysis within 15 calendar days, then provide 7 calendar days for the department to respond with justifications for excluded items.</p>	<p>Response time from departments for all items in question will be reduced to 3 business days from the date the department receives EFM's close out analysis. All items must be sufficiently addressed within that timeframe.</p>

Note: administrative salaries, which are oftentimes material, are excluded by default. EFM will note this to the department when they initiate the close out, as a reminder to provide justification for inclusion within the 3 business days.

Note: COPs received on time and accurate will retain the current procedural timelines (7 calendar days for department's response to EFM's inquiries).

Revision Requests - Thresholds

Current State	Future State
<p>When a department identifies a need to revise a COP or Financial Report greater than \$100 in increased expenses (or any decrease that would require a refund to the sponsor), EFM reviews the revised COP, corrects the deliverables, and submits to Sponsor.</p>	<p>If the Close Out procedure was followed (with a completed and accurate COP received by EFM on time), revision requests will be considered by EFM for increases to expenses of \$5,000 or more.</p> <p>If the COP was not received on time, was incomplete or incorrect, increases in expenses must be in excess of \$10,000 for revision requests to be considered.</p>

Revision Requests - Repeating

Current State	Future State
<p>When a department identifies a subsequent need to again revise a COP or Financial Report, EFM reviews the revised COP, corrects the deliverables, and submits to Sponsor.</p> <p>There currently is no limit to the number of revisions a department may request.</p>	<p>Up to a total of 2 revision requests will be considered by EFM, within 120 days of the original due date.</p>

Any Questions?

Contact Information

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ERS Updates

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Current Certification Rate

- Current campus certification rate is 91% as of 1/8/2020
- All outstanding reports are now significantly past due and need to be certified ASAP

Academic Year	Fall			Winter			Spring			Summer		
	Cert Rate	Cert #	Open #	Cert Rate	Cert #	Open #	Cert Rate	Cert #	Open #	Cert Rate	Cert #	Open #
2005-2006	N/A	N/A	N/A	N/A	N/A	N/A	100%	6683	0	100%	6983	0
2006-2007	100%	6111	0	100%	6049	0	100%	6195	0	100%	6574	0
2007-2008	100%	5827	0	100%	5872	0	100%	5997	0	100%	6497	0
2008-2009	100%	5829	0	100%	5876	0	100%	6127	0	100%	7393	0
2009-2010	100%	6433	0	100%	6680	0	100%	6898	0	100%	7797	0
2010-2011	99%	6573	3	100%	6621	0	99%	6772	1	99%	7080	2
2011-2012	100%	6212	0	100%	6283	0	100%	6276	0	100%	6607	0
2012-2013	99%	5773	2	99%	5843	2	99%	5814	1	99%	6116	4
2013-2014	99%	5371	2	99%	5335	2	99%	5503	1	99%	5898	3
2014-2015	99%	5266	1	99%	5341	2	99%	5347	3	99%	5860	4
2015-2016	99%	5225	2	99%	5267	2	99%	5387	4	99%	5700	3
2016-2017	99%	5121	7	99%	5177	8	99%	5299	37	99%	5740	56
2017-2018	98%	5123	66	98%	5048	81	91%	5753	511			

Note: Academic Year 2017 - 2018 Spring effort reports include a modified effort reporting period of: April to July 2018 for 11/12 Academics, April to July 2018 for Non-Academics, and March to July 2018 for 9/12 Academics

Any Questions?

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